

**BURNS****DOANE**BURNS DOANE SWECKER & MATHIS LLP  
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DURHAM, NORTH CAROLINA**REPLY TO:**P.O. Box 1404  
Alexandria, Virginia 22313-1404**TELEPHONE:** +1.703.836.6620**FACSIMILE:** +1.703.836.2021 (Group 3)  
+1.703.836.0028 (Group 4)**DATE:** August 23, 2001

RECIPIENT INFORMATION	SENDER INFORMATION
To: <b>Barbara A. Campbell</b> Voice Tel. No.: <b>703-305-3631</b> Fax Tel. No.: <b>703-305-3230</b> Your Ref.: <b>09/743,107</b>	From: <b>Mercedes K. Meyer</b> Voice Tel. No.: <b>703-838-6561</b> Sent By: <b>Elizabeth K. Stenson</b> Our Ref.: <b>003300-723</b> Total Pages (Incl. Cover Page): <b>7</b>

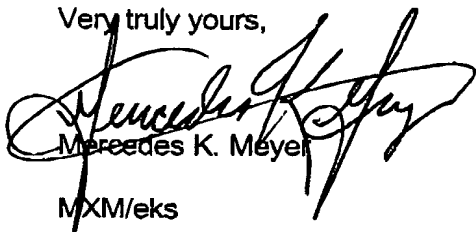
**RE:** U.S. Patent Application No. 09/743,107**MESSAGE:**

Dear Ms. Campbell,

Further to our telephone conversation yesterday, attached please find an Official Communication memorializing our conversation.

Should you have any questions, please do not hesitate to contact me.

Very truly yours,

  
Mercedes K. Meyer

MXM/eks

**NOTE:** The information contained in this facsimile message is attorney-client privileged and contains confidential information intended only for the use of the person(s) named above and others expressly authorized to receive it. If you are not the intended recipient, you are hereby notified that any dissemination, distribution or copying of this message is prohibited and you are asked to notify us immediately by telephone and to return this message to us by mail without copying it.

Any questions regarding compatibility should be directed to our Office Services Department at +1.703.836.6620.

FORM-PTO-1390  
(Rev. 12-29-99)

U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE

ATTORNEY'S DOCKET NUMBER

**TRANSMITTAL LETTER TO THE UNITED STATES  
DESIGNATED/ELECTED OFFICE (DO/EO/US)  
CONCERNING A FILING UNDER 35 U.S.C. 371**

003300-723

U.S. APPLICATION NO. (If known, see 37 C.F.R. 1.6)

09/743,107

INTERNATIONAL APPLICATION NO.  
PCT/SE99/01230INTERNATIONAL FILING DATE  
06 July 1999PRIORITY DATE CLAIMED  
06 July 1998

TITLE OF INVENTION

PEPTIDES BASED ON THE SEQUENCE OF HUMAN LACTOFERRIN AND THEIR USE

APPLICANT(S) FOR DO/EO/US

Lars Å. HANSON; Lars BALTZER; Inger MATTSBY-BALTZER; and Gunnar T. DOLPHIN

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☐ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
2. ☒ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
3. ☐ This is an express request to begin national examination procedures (35 U.S.C. 371(f)) at any time rather than delay examination until the expiration of the applicable time limit set in 35 U.S.C. 371(b) and the PCT Articles 22 and 39(1).
4. ☐ A proper Demand for International Preliminary Examination was made by the 19th month from the earliest claimed priority date.
5. ☐ A copy of the International Application as filed (35 U.S.C. 371(c)(2))
  - a. ☐ is transmitted herewith (required only if not transmitted by the International Bureau).
  - b. ☐ has been transmitted by the International Bureau.
  - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US)
6. ☐ A translation of the International Application into English (35 U.S.C. 371(c)(2)).
7. ☐ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))
  - a. ☐ are transmitted herewith (required only if not transmitted by the International Bureau).
  - b. ☐ have been transmitted by the International Bureau.
  - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
  - d. ☐ have not been made and will not be made.
8. ☐ A translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
9. ☐ An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).
10. ☐ A translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).

Items 11. to 16. below concern other document(s) or information included:

11. ☐ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
12. ☐ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
13. ☐ A FIRST preliminary amendment.  
☐ A SECOND or SUBSEQUENT preliminary amendment.
14. ☐ A substitute specification.
15. ☐ A change of power of attorney and/or address letter.
16. ☒ Other items or information:

Official Communication

U.S. APPLICATION NO. (If known, see 37 C.F.R. 1.50) <b>09/743,107</b>		INTERNATIONAL APPLICATION NO. <b>PCT/SE99/01230</b>		ATTORNEY'S DOCKET NUMBER <b>003300-723</b>	
17. <input type="checkbox"/> The following fees are submitted:				<b>CALCULATIONS</b>	PTO USE ONLY
<b>Basic National Fee (37 CFR 1.492(a)(1)-(5)):</b>  Neither international preliminary examination fee (37 CFR 1.482) nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO and International Search Report not prepared by the EPO or JPO ..... \$1,000.00 (960)  International preliminary examination fee (37 CFR 1.482) not paid to USPTO but International Search Report prepared by the EPO or JPO ..... \$860.00 (970)  International preliminary examination fee (37 CFR 1.482) not paid to USPTO but international search fee (37 CFR 1.445(a)(2)) paid to USPTO ..... \$710.00 (958)  International preliminary examination fee paid to USPTO (37 CFR 1.482) but all claims did not satisfy provisions of PCT Article 33(1)-(4) ..... \$690.00 (956)  International preliminary examination fee paid to USPTO (37 CFR 1.482) and all claims satisfied provisions of PCT Article 33(1)-(4) ..... \$100.00 (962)  <div style="text-align: right;"><b>ENTER APPROPRIATE BASIC FEE AMOUNT =</b></div>				<div style="text-align: right;">\$</div>	
Surcharge of \$130.00 (154) for furnishing the oath or declaration later than months from the earliest claimed priority date (37 CFR 1.492(e)). 20 <input type="checkbox"/> 30 <input type="checkbox"/>				<div style="text-align: right;">\$</div>	
Claims	Number Filed	Number Extra	Rate		
Total Claims	-20 =		X\$18.00 (966)	\$	
Independent Claims	-3 =		X\$80.00 (964)	\$	
Multiple dependent claim(s) (if applicable)			+ \$270.00 (968)	\$	
<b>TOTAL OF ABOVE CALCULATIONS =</b>				\$	
Reduction for 1/2 for filing by small entity, if applicable (see below).				\$	
<b>SUBTOTAL =</b>				\$	
Processing fee of \$130.00 (156) for furnishing the English translation later than months from the earliest claimed priority date (37 CFR 1.492(f)). 20 <input type="checkbox"/> 30 <input type="checkbox"/>				\$	
<b>TOTAL NATIONAL FEE =</b>				\$	
Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 (581) per property +				\$	
<b>TOTAL FEES ENCLOSED =</b>				\$	
				<b>Amount to be:</b>	
				<b>refunded</b>	\$
				<b>charged</b>	\$

a. ☐ Small entity status is hereby claimed.

b. ☐ A check in the amount of \$\_\_\_\_\_ to cover the above fees is enclosed.

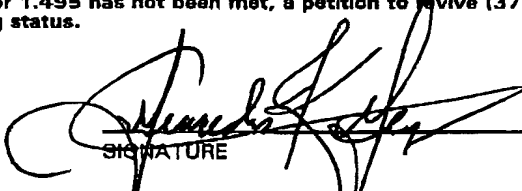
c. ☐ Please charge my Deposit Account No. 02-4800 in the amount of \$\_\_\_\_\_ to cover the above fees. A duplicate copy of this sheet is enclosed.

d. ☒ The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. 02-4800. A duplicate copy of this sheet is enclosed.

**NOTE:** Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the application to pending status.

SEND ALL CORRESPONDENCE TO:

Benton S. Duffett, Jr.  
 BURNS, DOANE, SWECKER & MATHIS, L.L.P.  
 P.O. Box 1404  
 Alexandria, Virginia 22313-1404  
 (703) 836-6620

  
 \_\_\_\_\_  
 SIGNATURE  
 Mercedes K. Meyer  
 \_\_\_\_\_  
 NAME  
44,939  
 \_\_\_\_\_  
 REGISTRATION NUMBER

Transmittal Letter to the United States  
Designated/Elected Office (DO/EO/US)  
Concerning a Filing under 35 U.S.C. 371  
International Application No.: PCT/SE99/01230  
U.S. Application No.: 09/743,107  
Attorney's Docket No.: 003300-723

I hereby certify that this correspondence is  
being sent by Facsimile Transmission to  
Assistant Commissioner of Patents and Trademarks,  
Washington, D.C. 20231 on

Date: August 23, 2001

Name: Elizabeth K. Stenson  
(Typed or printed name of person signing the certificate)

Sign: Elizabeth K. Stenson  
(Signature of person signing the certificate)

Date: August 23, 2001

#10

Patent

Attorney's Docket No. 003300-723**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re Patent Application of	)	
	)	
Lars Å. HANSON <i>et al.</i>	)	Group Art Unit: Unassigned
	)	
Application No.: 09/743,107	)	Examiner: Unassigned
Corresponds to PCT/SE99/01230	)	
	)	<b>VIA FACSIMILE: 703 305-3230</b>
International Filing Date: 06 July 1999	)	
	)	<b>TELEPHONE: 703 305-3631</b>
For: PEPTIDES BASED ON THE	)	
SEQUENCE OF HUMAN	)	
LACTOFERRIN AND THEIR USE	)	

**OFFICIAL COMMUNICATION**

Assistant Commissioner for Patents  
Washington, D.C. 20231

Sir:

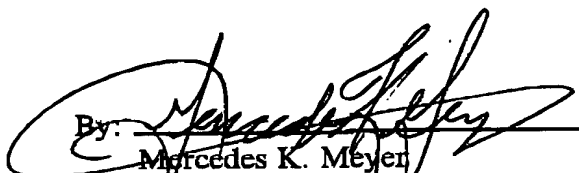
This Official Communication will memorialize my conversations with Ms. Barbara Campbell held August 21 and 22, 2001. A Notification to Comply with Requirements for Patent Containing Nucleotide Sequence and/or Amino Acid Sequence Disclosures was mailed along with a Notification of a Defective Response on August 13, 2001. The Raw Sequence Listing Error Report was not attached to the Notification. Without the Error Report, Applicants are unable to correct the errors in the Sequence Listing. Consequently, Applicants were unable to respond to the Sequence Listing requirement until the Raw Sequence Listing Error Report was sent yesterday. Accordingly, it is respectfully requested that the date be reset starting August 22, 2001, for responding to the outstanding

Application No. 09/743,107  
Corresponds to PCT/SE99/01230  
Attorney's Docket No. 003300-723  
Page 2

Notification to Comply with Requirements for Patent Containing Nucleotide Sequence  
and/or Amino Acid Sequence Disclosures.

Respectfully submitted,

BURNS, DOANE, SWECKER & MATHIS, L.L.P.

By:   
Mercedes K. Meyer  
Registration No. 44,939

P.O. Box 1404  
Alexandria, Virginia 22313-1404  
(703) 836-6620

Date: August 23, 2001

Application No. 09/743,107  
Corresponds to PCT/SE99/01230  
Attorney's Docket No. 003300-723  
Page 3

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Date: August 23, 2001

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(Typed or printed name of person signing the certificate)

Sign: Elizabeth K. Stenson  
(Signature of person signing the certificate)

Date: August 23, 2001

\*\*\*\*\*  
\*\*\* RX REPORT \*\*\*  
\*\*\*\*\*

RECEPTION OK

TX/RX NO	5363	
CONNECTION TEL		7038362021
SUBADDRESS		
CONNECTION ID		
ST. TIME	08/23 10:59	
USAGE T	01'48	
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RESULT	OK	